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PTO/SB/21 (09-04)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/823,435
	Filing Date	3/29/2001
	First Named Inventor	Grubsky et al.
	Art Unit	2877
	Examiner Name	Michael P. Mooney
	Attorney Docket Number	STADM-56623
Total Number of Pages in This Submission		

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
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**Certificate**  
**FEB 02 2006**  
**of Correction**

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	FULWIDER PATTON LLP		
Signature	<i>[Handwritten signature]</i>		
Printed name	John K. Fitzgerald		
Date	1/26/2006	Reg. No.	38,881

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I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:			
Signature	<i>[Handwritten signature]</i>		
Typed or printed name	John K. Fitzgerald, Reg. No. 38,881	Date	1/26/2006

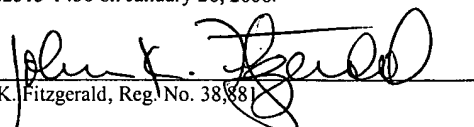
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John K. Fitzgerald, Reg. No. 38,881

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of

VICTOR E. GRUBSKY ET AL.

Patent No.: 6,950,576 B1

Issued: September 27, 2005

Serial No: 09/823,435

Filed: March 29, 2001

For: MODE COUPLING DEVICES WITH  
COMPLEX SPECTRAL PROFILE

Examiner: Michael P. Mooney

Group Art Unit: 2877

Client ID/Matter No: STADM 56623

January 26, 2006

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02/01/2006 BABRAHA1 00000090 6950576

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100.00 DP

fees. Should the Office determine that additional fees are needed, please charge Deposit Account No. 06-2425.

The errors are verifiable in the patent application file as follows:

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**APPLICATION FILE**

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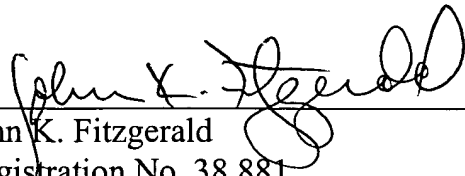
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Respectfully submitted,

FULWIDER PATTON LLP

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John K. Fitzgerald  
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having multiple sections, each section having a different period or different refractive index. In this example, a light signal 150 having an undesirable spectrum encounters grating 110. Depending on the design of grating 110, specific wavelengths of light signal 150 are coupled into a lossy cladding mode 140, which ultimately exits the fiber and is lost. Gratings such as depicted in FIG. 2, having varying period or index of refraction are difficult to manufacture. It is also difficult to design a grating having a varying period to have a desired spectral shape and such gratings may not be able to be formed for certain complicated spectrums.

Referring now to FIG. 4, a gain flattening filter formed in accordance with the present invention is illustrated. FIG. 4 depicts a section of optical fiber 310 having a core portion 315 surrounded by a cladding layer 320. A series of long period gratings 340, 350, 360, and 370 are formed in the core portion 315 of optical fiber 310. While the refractive index modulation and the average refractive index are preferably the same for all of the gratings in the series, each grating section may have a different length, that is, a different number of perturbed and unperturbed regions. Gratings 340, 350, 360, and 370 are separated by intervals 380, 390, and 400 in the core portion. Intervals 380, 390, and 400 are typically between 0.1-10 grating periods in width, and preferably, the optimum optical length of the intervals range from 1 and 2 grating periods in width. It is well known in the art that the optical length of a medium depends not only on the physical length of the medium, but is also a function of the index of refraction of the medium. As will be discussed in more detail below, the precise optical length of each interval between the gratings comprising the gain flattening filter of the present invention may be tuned to optimize the transmission spectrum of the gain flattening filter.

Central to the mode of operation of the gain flattening filter of the present invention is utilization of gratings, that due to the design of the gratings, couples a light signal 400 encountering the gain flattening filter of the present invention from the guided core mode to a guided cladding mode such that both core and guided cladding modes are co-propagating. For example, grating 340 couples light from the core mode 400 of the fiber into guided cladding mode 420. Each subsequent grating, couples light from the guided cladding mode 420 back into the core mode 410 or from the core mode 410 into the guided cladding mode 420. This mode of operation differs substantially from that described with reference to the prior art in that the fundamental mode of light transmitted through the core is coupled into a guided cladding mode of the fiber rather than into a lossy mode.

The number of periods of each grating and the optical length of the region separating adjacent gratings determines the spectrum of light that exits the filter. A principle

$\gamma = 2\pi/\Lambda - (k_x - k_y)$  - detuning of core and cladding wavevectors from the resonance, and

$$\beta = (\gamma + d)^{1/2} / 2.$$

Detuning parameter  $\gamma$  can be approximated with a second-order polynomial function of wavelength  $\lambda$ :

$$\gamma = a_1 * (\lambda - \lambda_0) + a_2 * (\lambda - \lambda_0)^2,$$

where  $\lambda_0$  is the resonance wavelength of the grating and coefficient  $a_1$  and  $a_2$  may be found experimentally.

The transmission spectrum  $T(\lambda)$  is calculated by using a unit intensity of light in the core mode and no light in the cladding mode at the input, and rejecting the cladding mode at the output:

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$$T(\lambda) = |X_{out}|^2$$

When  $N$  uniform gratings are stacked together with phase shifts  $\phi_n$  between them, the calculation of the total transmission spectrum is as follows:

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Referring now to FIG. 7, a method of forming and fine tuning the long period gratings of the present invention is set forth. The procedure for forming the long period gratings of the present invention is broken down into two general phases. In the first phase, as indicated by the process set forth in box 800, the long period grating of the present invention is formed in the optical fiber. Using the parameters calculated as set forth above, the optical fiber is exposed to light at an appropriate wavelength, generally ultraviolet light, in box 805. During this exposure individual perturbed areas of the optical fiber are written into the fiber in order to form the grating. Typically, this exposure is accomplished by mounting the optical fiber in a suitable fixture and mechanically translating the optical fiber relative to a finely

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John K. Fitzgerald, Reg. No. 38,881

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Issued: September 27, 2005

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For: MODE COUPLING DEVICES WITH  
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Examiner: Michael P. Mooney

Group Art Unit: 2877

Client ID/Matter No: STADM 56623

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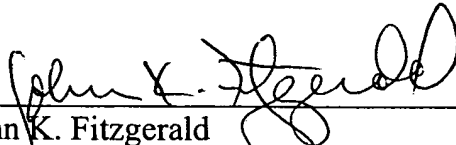
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Enclosures

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6060 Center Drive, Tenth Floor  
Los Angeles, CA 90045  
Telephone: (310) 824-5555  
Facsimile: (310) 824-9696  
Customer No. 24201

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  <b>Complete if Known</b>	
				Application Number	09/823,435
				Filing Date	3/29/2001
				First Named Inventor	Grubsky et al.
				Art Unit	2874- 2883
				Examiner Name	Unassigned MOONEY
Sheet	1	of	1	Attorney Docket Number	STADM-56623

[illegible]

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No.	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Publication Date MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Paragraphs or Relevant Figures Appear
		Country Code	Number	Int. Code (if known)		
<i>DPK</i>	AB	JP	10319259		Sumitomo Electric Ind Ltd.	12-4-1998
<i>hah</i>	AC	WO	WO 99/45418		The University of Sydney	09-10-1999

OTHER DOCUMENT (Including Author, Title, Date, Pertinent Pages, Etc.)	
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Examiner Signature	Mitchell P. Mooney <sup>MPM</sup>	Date Considered	3/22/04; 2/23/05 <sup>MPM</sup>
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APPLICATION NO.: 09/823,435  
ISSUE DATE : September 27, 2005  
INVENTOR(S) : Victor E. Grubsky et al.

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**MAILING ADDRESS OF SENDER:**

**John K. Fitzgerald  
Fulwider Patton LLP  
6060 Center Drive, 10<sup>th</sup> Floor  
Los Angeles, CA 90045**

This collection of information is required by 37 CFR 1.322 and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing the burden, should be sent to the Chief of Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450 Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORM TO THIS ADDRESS. SEND TO: Attention Certificate of Corrections Branch, Commissioner of Patents P.O. Box 1450 Alexandria, VA 22313-1450

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